

**DUE ANNUALLY on or before  
December 31st of the current year**

## Non-NASD Broker-Dealer Renewal

Name of Broker-Dealer

Address

City

State

Zip Code

☐ Check if your address  
has changed since  
your last renewal

Tax ID number (FEIN)

Your Michigan Broker-Dealer number:

(This is NOT your CRD number)

Contact person name and title

NON-

Contact person phone number

Contact person email address

Does Broker-Dealer maintain a Michigan branch office?

☐ Yes ☐ No

**If yes, please attach a list of Michigan branch office locations.**

### Agent listing

List each agent of this broker-dealer. You may use the space below, or attach a substitute list prepared on your office automation equipment. If you choose a substitute list, it must provide the same information in the same order as the format below. It must be in an easily readable typeface, 10pt. or larger.

**1** Name of agent

Home address (must be street address--no PO Boxes)

City

State

Zip Code

Agent Social Security Number

**2** Name of agent

Home address (must be street address--no PO Boxes)

City

State

Zip Code

Agent Social Security Number

**3** Name of agent

Home address (must be street address--no PO Boxes)

City

State

Zip Code

Agent Social Security Number

**4** Name of agent

Home address (must be street address--no PO Boxes)

City

State

Zip Code

Agent Social Security Number

**Renewal Fee Calculation**—Each Non-NASD Broker-Dealer firm is subject to a \$300 renewal fee PLUS a \$65 per agent renewal fee.

Complete table below.

	Quantity	Amount Due
Broker-Dealer Renewal	1	\$300.00
Agent Renewal (quantity x \$65.00)		
TOTAL—Make check for full amount due payable in US dollars to: State of Michigan		

C3 Validation code: 8

**Mail completed form and any  
attachments with payment to:**

**Office of Financial and Insurance Services  
Qualification Assessment/Licensing Section  
611 W Ottawa St  
PO Box 30220  
Lansing MI 48909-3127**

### Certification

I swear under penalty of perjury that the information given in and attached to this application is true, complete and correct. I understand that Michigan requires broker-dealer audited financial statements to be submitted within 90 days from the end of the firm's fiscal year, and another unaudited financial statement with net capital computation as of a date six months after the audited statement.

Signature of officer, member or owner

Date signed

Signer's name and title (typed or printed)

Authority: PA 265 of 1964 as amended. Failure to properly file will result in expiration of your registration.

Visit OFIS on the Web at:  
www.michigan.gov/ofis



**Michigan Department of Consumer & Industry Services**  
"Serving Michigan...Serving You"



Phone OFIS toll-free at:  
1-877-999-6442

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